

(1390 REV. 5-93) US DEPT. OF COMMERCE PATENT & TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE  
UNITED STATES  
DESIGNATED/ELECTED OFFICE  
(DO/EO/US) CONCERNING A FILING  
UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

111

U.S. APPLICATION NO.  
(if known, sec 37 C.F.R.1.5)  
09/980,100

09/980100

INTERNATIONAL APPLICATION NO.  
PCT/GB00/02143

INTERNATIONAL FILING DATE  
June 2, 2000

PRIORITY DATE CLAIMED  
June 2, 1999

TITLE OF INVENTION  
MULTIPLE WAVELENGTH LIGHT EMITTING DEVICE, ELECTRONIC APPARATUS, AND INTERFERENCE MIRROR

APPLICANTS FOR DO/EO/US  
Tatsuya SHIMODA et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventors (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
- ☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ Entitlement to small entity status is hereby asserted.
16. ☒ Other items or information: Response to Notification of Missing Requirements

U.S. APPLICATION NO. (if known, see C.F.R. 1.5) 09/980,100	INTERNATIONAL APPLICATION NO. PCT/GB00/02143	ATTORNEY'S DOCKET NUMBER 11241
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17. <input checked="" type="checkbox"/> The following fees are submitted:  <b>Basic National fee (37 CFR 1.492(a)(1)-(5)):</b>  Search Report has been prepared by the EPO or JPO ....\$890.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) .....\$710.00  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) .....\$740.00  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....\$1,040.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) .....\$ 100.00  <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>	<b>CALCULATIONS</b>	<b>PTO USE ONLY</b>
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>	\$	

Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$130.00	
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Claims	Number Filed	Number Extra	Rate		
Total Claims	- 20 =		X \$ 18.00	\$	
Independent Claims	- 3 =		X \$ 84.00	\$	
Multiple dependent claim(s)(if applicable)			+ \$280.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$130.00	
Reduction by 1/2 for filing by small entity, if applicable.				-	\$
<b>SUBTOTAL =</b>				\$130.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$
<b>TOTAL NATIONAL FEE =</b>				\$130.00	
				Amount to be refunded	\$
				Charged	\$

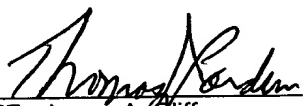
  

a.	<input checked="" type="checkbox"/>	Check No. <u>128544</u> in the amount of <u>\$130.00</u> to cover the above fees is enclosed.
b.	<input type="checkbox"/>	Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.
c.	<input checked="" type="checkbox"/>	The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. <u>15-0461</u> . A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO: OLIFF & BERRIDGE, PLC P.O. Box 19928 Alexandria, Virginia 22320	 NAME: James A. Oliff REGISTRATION NUMBER: 27,075
Date: <u>March 8, 2002</u>	NAME: Thomas J. Pardini REGISTRATION NUMBER: 30,411

U.S. APPLICATION NO. (if known, see  
C.F.R. 1.5) 09/980,100

INTERNATIONAL APPLICATION NO.  
PCT/GB00/02143

ATTORNEY'S DOCKET NUMBER  
1241

17. ☒ The following fees are submitted:

**Basic National fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO ....\$890.00

International preliminary examination fee paid to USPTO  
(37 CFR 1.482) .....\$710.00

No international preliminary examination fee paid to USPTO  
(37 CFR 1.482) but international search fee paid to USPTO  
(37 CFR 1.445(a)(2)) .....\$740.00

Neither international preliminary examination fee (37 CFR  
1.482) nor international search fee (37 CFR 1.445(a)(2))  
paid to USPTO .....\$1,040.00

International preliminary examination fee paid to USPTO  
(37 CFR 1.482) and all claims satisfied provisions of PCT  
Article 33(2)-(4) .....\$ 100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$

Surcharge of \$130.00 for furnishing the oath or declaration later than  
☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR  
1.492(e)).

\$130.00

Claims	Number Filed	Number Extra	Rate
Total Claims	- 20 =		X \$ 18.00
Independent Claims	- 3 =		X \$ 84.00
Multiple dependent claim(s)(if applicable)			+ \$280.00

\$

\$

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$130.00

Reduction by 1/2 for filing by small entity, if applicable.

-

\$

**SUBTOTAL =**

\$130.00

Processing fee of \$130.00 for furnishing the English translation later  
than ☐ 20 ☐ 30 month from the earliest claimed priority date (37 CFR  
1.492(f)).

+

\$

**TOTAL NATIONAL FEE =**

\$130.00

Amount to be  
refunded

\$

Charged

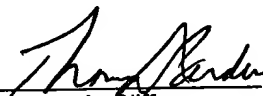
\$

- a. ☒ Check No. 128544 in the amount of \$130.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 15-0461. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

OLIFF & BERRIDGE, PLC  
P.O. Box 19928  
Alexandria, Virginia 22320

  
NAME: James A. Oliff  
REGISTRATION NUMBER: 27,075

Date: March 8, 2002

NAME: Thomas J. Pardini  
REGISTRATION NUMBER: 30,411

BEST AVAILABLE COPY

PCT/PTO 08 MAR 2002  
09/980100  
PATENT APPLICATION  
#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Tatsuya SHIMODA et al.

Attn: Box Missing Parts

Application No.: 09/980,100

Filed: March 8, 2002

Docket No.: 111241

For: MULTIPLE WAVELENGTH LIGHT EMITTING DEVICE, ELECTRONIC  
APPARATUS, AND INTERFERENCE MIRROR

RESPONSE TO NOTICE TO FILE MISSING PARTS WITH DECLARATION

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date  
Granted (copy attached) mailed on January 10, 2002, submitted herewith is the executed  
Declaration of the inventors. Any specification attached to and referenced in the Declaration  
is a copy of the specification and any amendments thereto which were filed in the Office in  
order to obtain a filing date for the application.

Attached is our Check No. 128544 for ☒\$130.00 ☐\$65.00 (entitlement to  
small entity status is asserted) for the fee under 37 C.F.R. §1.16(e).

Entry of these documents should complete all of the filing formalities and fully  
satisfy all requirements of the Notice to File Missing Parts. Accordingly, examination and  
allowance of this application in due course are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any  
overpayment) associated with this communication to Deposit Account No. 15-0461. Two  
duplicate copies of this paper are attached.

Respectfully submitted,



James A. Oliff  
Registration No. 27,075

Thomas J. Pardini  
Registration No. 30,411

03/13/2002 UENVIJE 00000056 09980100

01 FC:154

130.00 00

JAO:TJP/cmm

Date: March 8, 2002

OLIFF & BERRIDGE, PLC  
P.O. Box 19928  
Alexandria, Virginia 22320

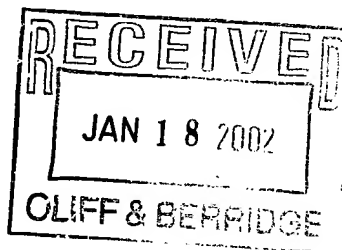
DEPOSIT ACCOUNT USE  
AUTHORIZATION  
Please grant any extension  
necessary for entry:



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/980,100	Tatsuya Shimoda	111241

Oliff & Berridge  
PO Box 19928  
Alexandria, VA 22320

INTERNATIONAL APPLICATION NO.	
PCT/GB00/02143	
I.A. FILING DATE	PRIORITY DATE
06/02/2000	06/02/1999

CONFIRMATION NO. 1141

371 FORMALITIES LETTER



\*OC000000007286874\*

March 10, 2002

Missing Parts

Date Mailed: 01/10/2002

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Preliminary Amendments
- Request for Immediate Examination

DOCKETED  
By DR on 1/18 2002  
and  
By MM on 1/18 2002  
Oliff & Berridge

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months from the priority date (37 CFR 1.492(e)) is required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity.

- \$130 Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

JOHN L ANDERSON

Telephone: (703) 308-9116

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/980,100	PCT/GB00/02143	111241